

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement and any additional documentation to: **Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW Washington, DC 20503.**

1. Agency/Subagency originating request
EPA Office of Site Remediation Enforcement

2. OMB control number b. **G** None
a. _____

3. Type of information collection (*check one*)
- a. **X** New collection
 - b. **G** Revision of a currently approved collection
 - c. **G** Extension of a currently approved collection
 - d. **G** Reinstatement, **without change**, of a previously approved collection for which approval has expired
 - e. **G** Reinstatement, **with change**, of a previously approved collection for which approval has expired
 - f. **G** Existing collection in use without an OMB control number

4. Type of review requested (*check one*)
- a. **X** Regular
 - b. **G** Emergency - Approval requested by: ____/____/____
 - c. **G** Delegated
5. Small entities
Will this information collection have a significant economic impact on a substantial number of small entities? **G** Yes **X** No

For b-f, note item A2 of Supporting Statement Instructions

6. Requested expiration date
a. **X** Three years from approval date b. **G** Other Specify: ____/____/____

7. Title **Superfund De Minimis Settlement Reform Survey**

8. Agency form number(s) **EPA ICR # 2036.1**

9. Keywords **Superfund, Administrative Practice and Procedure, De Minimis Superfund Reforms, Program Evaluation, Survey**

10. Abstract

The Environmental Protection Agency (EPA) has administered three rounds of Superfund Reforms throughout the 1990s. EPA's Superfund Reforms impact nearly every aspect of the Superfund program, addressing the areas of enforcement, cleanup, risk assessment public involvement, environmental justice, economic redevelopment, innovative technology, and State and Tribal empowerment.

EPA's Office of Site Remediation Enforcement (OSRE) is interested in obtaining data to evaluate satisfaction with the Superfund De Minimis Settlement Reforms. The purpose of this evaluation is to measure the level of satisfaction that de minimis settlement reform participants have for the reforms (as represented by the de minimis settlement offer) and relate it to whether or not they settled. The proposed evaluation employs a descriptive research design that will yield information about participant satisfaction with the de minimis settlement reform; the relationship between certain policy parameters, e.g., size of the offer, and settlement outcomes; and, the relationship between certain policy parameters and satisfaction with the reforms. Data for the evaluation will be collected by reviewing existing written and electronic EPA files and surveying de minimis responsible parties to obtain primary data.

This information collection is for the survey of de minimis settlement reform participants who were offered a de minimis settlement as part of the reform. The survey will be administered to a non-random sample consisting of one-fifth (20 percent) of the settlors and one-fifth (20 percent) of the non-settlors for each offer extended by the Agency, subject to a minimum of three offerees in each category. The information will not be generalized to the population of offerees. The information collected from this survey will be used in a broader evaluation of the de minimis settlement reform's overall effectiveness.

The information collection will involve 347 respondents at \$32,743 dollars.

11. Affected public (*Mark primary with "P" and all others that apply with "X"*)

- a. **X** Individuals or households d. ___ Farms
- b. **P** Business or other for-profit e. ___ Federal Government
- c. ___ Not-for-profit institutions f. ___ State, Local or Tribal Government

12. Obligation to respond (*Mark primary with "P" and all others that apply with "X"*)

- a. **P** Voluntary
- b. **G** Required to obtain or retain benefits
- c. **G** Mandatory

| | |
|--|---|
| <p>13. Annual reporting and recordkeeping hour burden</p> <p>a. Number of respondents <u>347</u></p> <p>b. Total annual responses <u>One-time Collection</u></p> <p>1. Percentage of these responses collected electronically <u>90</u> %</p> <p>c. Total hours requested <u>1041</u></p> <p>d. Current OMB inventory <u>0</u></p> <p>e. Difference <u>1041</u></p> <p>f. Explanation of difference</p> <p>1. Program Change <u>New Collection</u></p> <p>2. Adjustment _____</p> | <p>14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>)</p> <p>a. Total annualized capital/startup costs <u>0</u></p> <p>b. Total annual costs (O&M) <u>0</u></p> <p>c. Total annualized cost requested <u>0</u></p> <p>d. Current OMB inventory <u>N/A</u></p> <p>e. Difference <u>N/A</u></p> <p>f. Explanation of difference</p> <p>1. Program change _____</p> <p>2. Adjustment _____</p> |
| <p>15. Purpose of information collection (<i>Mark Primary With "P" and all others that apply with "X"</i>)</p> <p>a. <input type="checkbox"/> Application for benefits e. <input checked="" type="checkbox"/> Program planning or management</p> <p>b. <input checked="" type="checkbox"/> Program evaluation f. <input checked="" type="checkbox"/> Research</p> <p>c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance</p> <p>d. <input type="checkbox"/> Audit</p> | <p>16. Frequency of recordkeeping or reporting (<i>check all that apply</i>)</p> <p>a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure</p> <p>c. <input checked="" type="checkbox"/> Reporting</p> <p>1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly</p> <p>4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually</p> <p>7. <input type="checkbox"/> Biannually 8. <input checked="" type="checkbox"/> Other (describe) <u>One-time Collection</u></p> |
| <p>17. Statistical methods</p> <p>Does this information collection employ statistical methods?</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> | <p>18. Agency contact (<i>person who can best answer questions regarding the content of this submission</i>)</p> <p>Name: <u>Bruce Pumphrey</u></p> <p>Phone: <u>(202) 564-6076</u></p> |

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with' 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (I) Why the information is being collected'
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (I) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

| | |
|---|------|
| Signature of Program Official | Date |
| Signature of Senior Official or designee Oscar Morales, Director Collection Strategies Division Office of Environmental Information | Date |

Certification Requirement for Paperwork Reduction Act Submissions

5 CFR 1320.9 reads “As part of the agency submission to OMB of a proposed collection of information, the agency (through the head of the agency, the Senior Official or their designee) shall certify (and provide a record supporting such certification) that the proposed collection of information --

“(a) is necessary for the proper performance of the functions of the agency, including that the information to be collected will have practical utility;

“(b) is not unnecessarily duplicative of information otherwise reasonably accessible to the agency;

“(c) reduces to the extent practicable and appropriate the burden on persons who shall provide information to or for the agency, including with respect to small entities, as defined in the Regulatory Flexibility Act 5 U.S.C § 601(6)), the use of such techniques as:

“(1) establishing differing compliance or reporting requirements or timetables that take into account the resources available to those who are to respond;

“(2) the clarification, consolidation, or simplification of compliance and reporting requirements; or collection of information , or any part thereof;

“(3) an exemption from coverage of the collection of information, or any part thereof;

“(d) is written using plain, coherent, and unambiguous terminology and is understandable to those who are to respond;

“(e) is to be implemented in ways consistent and compatible, to the maximum extent practicable, with the existing reporting and recordkeeping practices of those who are to respond;

“(f) indicates for each recordkeeping requirement the length of time persons are required to maintain the records specified;

“(g) informs potential respondents of the information called for under § 1320.8(b)(3); [see below]

“(h) has been developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected, including the processing of the information in a manner which shall enhance, where appropriate, the utility of the information to agencies and the public;

“(I) uses effective and efficient statistical survey methodology appropriate to the purpose for which the information is to be collected; and

“(j) to the maximum extent practicable, uses appropriate information technology to reduce burden and improve data quality, agency efficiency and responsiveness to the public.”

NOTE: 5 CFR 1320.8(b)(3) requires that each collection of information:

“(3) informs and provides reasonable notice to the potential persons to whom the collection of information is addressed of:

“(I) the reasons the information is planned to be and/or has been used to further the proper performance of the functions of the agency;

“(ii) the way such information is planned to be and/or has been used to further the proper performance of the functions of the agency;

“(iii) an estimate, to the extent practicable, of the average burden of the collection (together with a request that the public direct to the agency any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden);

“(iv) whether responses to the collection of information are voluntary, required to obtain or retain a benefit (citing authority), or mandatory (citing authority);

“(v) the nature and extent of confidentiality to be provided, if any (citing authority); and

“(vi) the fact that any agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.”